

RECORDS RETENTION AND DISPOSITION SCHEDULE



OFFICE OF COURT RESEARCH

**DIVISION OF COURT OPERATIONS
OFFICE OF RECORDS MANAGEMENT**

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OFFICE OF COURT RESEARCH

TABLE OF CONTENTS

Appellate Departments Caseload Activity Data Collection Form (UCS-172AD)	1
Appellate Departments Caseload Activity Reporting Statistical File (From Data Collection Form UCS-172AD)	1
Appellate Terms Caseload Activity Reporting Data Collection Form (UCS-170AT)	2
Arbitration Data Collection Forms (Consent And Oath Or Affirmation - UCS-360.1)	2
Arbitration Data Processing Transmittal Slip File	2
Arbitration Data Transmittal Batch Number Log	3
Arbitration Program Recapitulation Caseload Activity Statistical File (From Data Collection Form UCS-351)	3
Arbitration Program Weekly Report Of Proceedings Data Collection Form (UCS-351) ...	3
Arrest To Arraignment Study Data Collection Forms (CRC 3002, 3003, 3004)	3
Arrest To Arraignment Study Data Entry Log	3
Arrest To Arraignment Study Data File	4
Arrest To Arraignment Study File Backup Log	4
Arrest To Arraignment Study Reports	4
Arrest To Arraignment Study Returned Data Collection Forms Log	4
Attorney Disciplinary Activities Statistical Reporting Form	5
CDR 343 Case Forms	5
CDR Analyst Assignment Chart File	5
CDR Analyst Rotation Schedule File	5
CDR Appellate Index Card File	5
CDR Appellate Operating Guidelines	6
CDR Appellate Processing File	6
CDR Appellate Term/Division Remittiturs File	6
CDR Batch Slip File	6
CDR C.R.I.M.S. Data Entry Quick Reference Log Book	6
CDR C.R.I.M.S. User Log Report	7
CDR Corrected Quality Control (Q.C.) File	7
CDR Corrected Quality Control (Q.C.) Log	7
CDR Correction Form	7
CDR Court Record Update Form	7
CDR Court Record Update Report	8
CDR Criminal Disposition Reports Problem File (CDRPF)	8
CDR Criminal Disposition Reports Problem File (CDRPF) Operating Guidelines	8
CDR Criminal Disposition Reports Problem File - Resolved	8
CDR Daily Count Log	8
CDR Daily Staff Production Report	8
CDR Data Entry Guidelines Manual	9
CDR Data Processing Request Form	9
CDR D.C.J.S. Error List File	9
CDR D.C.J.S. Error List Cumulative Statistics File	9
CDR D.C.J.S. Error List In-House Worksheet Form	9
CDR Documents Received Weekly Totals Form	9
CDR Forms Supply Received Log (Form Inventory)	10
CDR FYI UCS-540A & UCS-540C Instruction Sheets	10
CDR Inventory Status 540 Forms File	10
CDR Inventory Status Serial Numbers File	10
CDR Monthly Statistics File	10

CDR New 540 Form	10
CDR N.Y.S.I.D. Extraction Log Book	11
CDR Production Report (Forms)	11
CDR Rap Sheets	11
CDR Request Form	11
CDR Request Form For Additional UCS-540, UCS-540B, UCS-540C Criminal Disposition Reports	12
CDR Serial Number Listing	12
CDR UCS-540 (Local Court Criminal Disposition Report)	12
CDR UCS-540 Instruction Manual For Local Courts	12
CDR UCS-540 Instruction Manual For Local Courts With Microcomputers	13
CDR UCS-540A (Superior And County Court Criminal Disposition Report)	13
CDR UCS-540A Instruction Manual For Superior And County Courts With Microcomputers	13
CDR UCS-540A Instruction Manual For Superior And County Courts	13
CDR UCS-540B (CDR Charge Supplement Sheet)	13
CDR UCS-540C (Corrections, Grand Jury Returns, Resentencing And Appellate Actions For Cases Originally Reported On Criminal Disposition Report)	14
CDR UCS-540C Instruction Manual For Completion Of The Form For Corrections, Grand Jury Returns, Resentencing And Appellate Actions	14
City And District Caseload Activity Reporting Statistical File (From Data Collection From UCS-175)	14
Civil Case Information System Disposition Mean And Median Times Lapse Report	15
Computer Application Program Files	15
Court Of Appeals Caseload Activity Data Collection Form (UCS-172CA)	15
Court Of Claims Caseload Activity Data Collection Form	16
Daily Jury Pool Status And Transactions Form - Full System	16
Daily Jury Pool Status And Transactions Form - Limited System	16
Data Processing Requests File	16
Data Processing Transmittal Slip File	17
Equal Employment Opportunity (E.E.O.) List	17
Family Court Batch Number Log	17
Family Court Caseload Activity Report Forms (UCS-102, UCS-103, UCS-104, UCS-106, UCS-109, UCS-110, UCS-111 And UCS-112)	17
Family Court Caseload Activity Reporting Statistical File (From Data Collection Form UCS-108)	18
Family Court Disposition Reporting Instruction Manual For Juvenile Delinquency, Designated Felony, Person In Need Of Supervision, Child Protective And Family Offense Petitions	18
Indigent Reports (UCS-195)	18
Instructions For Downloading Data From Mainframe	18
Juror Utilization Log Sheet	19
Juror Utilization Summary Sheet - Full System	19
Juror Utilization Summary Sheet - Limited System	19
Jury Program Reports File	19
Jury Report	19
Jury System File	20
Jury System Bid Specifications For Summonses	20
Jury System Summons Contract And Award File	20
Jury Utilization Contact Log Sheet	20
Jury Utilization Program Instruction Manual For Data Collection And Reporting	20
Mental Hygiene Legal Services Statistical Report (UCS-140)	21

New York State Commissioners Of Jurors List	21
Outside Agency Requests For Publishing Data File	21
Pay Parity Case Files	21
Quality Control Weekly A-A Production Report	22
Small Claims Assessment Review Program Caseload Activity Statistical File (From Data Collection Form UCS-904)	22
Small Claims Assessment Review Program Data Collection Form (UCS-904)	22
Statement Of Civil Fees Earned And Criminal Cases Completed File	22
Statistical Creation Background Files	23
Statistical Requests Log	23
Supreme And County Civil Courts Caseload Activity Reporting Instructional Manual For Reporting Civil Case Activity	23
Supreme And County Civil Courts Caseload Activity Reporting Statistical File (From Data Collection Form UCS-101)	24
Supreme And County Criminal Courts Caseload Activity Reporting Instructional Manual For Reporting Criminal Case Activity	24
Supreme And County Criminal Courts Caseload Activity Reporting Statistical File (From Data Collection Form UCS-153)	25
Surrogate's Court Caseload Activity Data Collection Form (UCS-150)	25
Surrogate's Court Caseload Activity Reporting Statistical File (From Data Collection Form UCS-150)	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data Collection Forms	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data Entry Log	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data File	27
Weekend Job Report Schedule	27
INDEX	28

RECORDS RETENTION AND DISPOSITION SCHEDULE

OFFICE OF COURT RESEARCH

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	<p>APPELLATE DEPARTMENTS CASELOAD ACTIVITY DATA COLLECTION FORM (UCS- 172AD)</p> <p>File containing statistical forms collecting information on the Appellate Departments' caseload activity. The information may include the total number of civil and criminal cases filed, civil and criminal dispositions before argument or submission, civil and criminal dispositions after argument (affirmed/reversed/modified/dismissed/other), oral arguments, motions decided, admissions to the bar, attorney disciplinary proceedings decided and the number of civil and criminal records filed by county of origin.</p>	<p>Retain for twenty-five years, then destroy.</p>
00000.	<p>APPELLATE DEPARTMENTS CASELOAD ACTIVITY REPORTING STATISTICAL FILE (FROM DATA COLLECTION FORM UCS- 172AD)</p> <p>File containing statistical information detailing the Appellate Departments' caseload activity. The information may include the number of civil and criminal cases filed, civil and criminal dispositions before argument or submission, civil and criminal dispositions after argument (affirmed/reversed/modified/ dismissed/other), oral arguments, motions decided, admissions to the bar, attorney disciplinary proceedings decided and the number of records filed by county of origin.</p>	<p>Retain for twenty-five years, then destroy.</p>

R.S. #

RECORD SERIES

RETENTION

00000.

**APPELLATE TERMS CASELOAD ACTIVITY
REPORTING DATA COLLECTION FORM
(UCS-170AT)**

File containing statistical information detailing the Appellate Terms' caseload activity. The information may include the number of civil and criminal cases filed, civil and criminal dispositions before argument or submission, civil and criminal dispositions after argument (affirmed/reversed/modified/dismissed/other), oral arguments, motions decided, and total cases filed from records on appeal, from New York City Criminal Court, from New York City Civil Court, from City Courts outside New York City, from District Courts and from County Courts.

Retain for twenty-five years, then destroy.

00000.

**ARBITRATION DATA COLLECTION FORMS
(CONSENT AND OATH OR AFFIRMATION -
UCS-360.1)**

Form collecting information on attorneys who agree to serve on a panel of arbitrators or as a single arbitrator. Information includes attorney's name, attorney's signature, date sworn, signature of justice/judge/referee/notary public/court clerk and demographic information of the attorney: name, business address, business telephone, firm affiliation - partner or associate, date admitted to the bar, and social security number; and commissioner's firm code and association code.

Retain until updated, then destroy.

00000.

**ARBITRATION DATA PROCESSING
TRANSMITTAL SLIP FILE**

File containing original of three part document of DATA PROCESSING TRANSMITTAL SLIPS sent from Data Services to Information Technology Services. DATA PROCESSING TRANSMITTAL SLIPS contain information for the accompanying data entry worksheets. Document indicates type of court, county of court, batch number, type of document, month and year of documents and physical count of documents attached.

Retain for one year, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	ARBITRATION DATA TRANSMITTAL BATCH NUMBER LOG Log recording transmittals sent to Information Technology Services - Data Entry. Information includes batch number and date sent.	Retain for one year, then destroy.
00000.	ARBITRATION PROGRAM RECAPITULATION CASELOAD ACTIVITY STATISTICAL FILE (FROM DATA COLLECTION FORM UCS-351) File containing statistical information detailing the arbitration caseload activity in the counties that have arbitration programs. The activities reported may include the totals of case inflow, outflow, pending, demands for trial de novo and the percentage of cases that demand de novo.	Retain permanently for research purposes.
00000.	ARBITRATION PROGRAM WEEKLY REPORT OF PROCEEDINGS DATA COLLECTION FORM (UCS-351) File containing statistical forms collecting information on the activities of the arbitration program. The form details the type of arbitration caseload activity in the counties that have arbitration programs. The activities reported may include the totals of case inflow, outflow, pending, awards granted, remands, hearings completed by arbitrator, panel and Judicial Hearing Officer, demands for trial de novo and Judicial Hearing Officer days.	Retain for two years after information is entered into data file and quality control has been conducted, then destroy.
00000.	ARREST TO ARRAIGNMENT STUDY DATA COLLECTION FORMS (CRC 3002, 3003, 3004) Form collecting information on the arrest to arraignment time study in Kings, Queens and Bronx counties. Information includes docket number(s), part number, date and time of: arrest, docketing, court room appearance, forwarding to legal aid, bridge ready, and arraignment.	Retain until information is entered into Arrest to Arraignment data file and quality control has been conducted, then destroy.
00000.	ARREST TO ARRAIGNMENT STUDY DATA ENTRY LOG Log monitoring the number of arrest to arraignment data entry files created. Information includes date, number of records entered, report period, and initials.	Retain for one year, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

ARREST TO ARRAIGNMENT STUDY DATA FILE

File containing information for Kings, Queens and Bronx counties on time to process suspect from the time of arrest to the time of arraignment. Information includes docket number(s), part number, date and time of: arrest, docketing, court room appearance, sent to legal aid, bridge ready, and arraignment.

Retain for one year, then destroy.

00000.

ARREST TO ARRAIGNMENT STUDY FILE BACKUP LOG

Log detailing the number of files in the arrest to arraignment database. Information includes date, number of files, time of backup, and initials of person doing backup.

Retain for one year, then destroy.

00000.

ARREST TO ARRAIGNMENT STUDY REPORTS

Reports generated daily and weekly based on arrest to arraignment collection data. The daily report gives the total number of cases per day, case number average, case number minimum, case number median, case number maximum and number of cases which took over 24 hours to process through each phase from arrest to arraignment in each court part. The weekly report summarizes the week's activity by giving the case mean and median numbers for each phase from arrest to arraignment.

Retain for five years, then destroy.

00000.

ARREST TO ARRAIGNMENT STUDY RETURNED DATA COLLECTION FORMS LOG

Log monitoring returned incomplete or inaccurate ARREST TO ARRAIGNMENT STUDY DATA COLLECTION FORMS to the courts.

Retain until outstanding forms have been returned, then destroy.

R.S. #**RECORD SERIES****RETENTION**

00000.

**ATTORNEY DISCIPLINARY ACTIVITIES
STATISTICAL REPORTING FORM**

File containing statistical forms collecting information on Attorney Disciplinary activities. The information may include the number of matters processed (new, pending, and closed and disposed), the number of matters disposed of by committee (rejected, referred, dismissed, letters of caution, admonition, reprimand, referred to Appellate Division, tabled pending litigation), and the number of cases processed in all courts (open, pending and closed with disposition type - disbarred, resignation, suspended, censured, and private censure).

Retain annual statistics permanently for research purposes. Retain interim reports until no longer needed, then destroy.

00000.

CDR¹ 343 CASE FORMS

Forms used to report charges disposed pursuant to CPL Section 160.50 subdivision 2 (dismissals prior to arraignment).

Retain for three years after verification of arrest information, then destroy.

00000.

CDR ANALYST ASSIGNMENT CHART FILE

File of charts illustrating specific job assignments for each Analyst.

Retain for six months, then destroy.

00000.

CDR ANALYST ROTATION SCHEDULE FILE

File of work schedules indicating the appropriation of analysts' time for data entry, quality control and problem solving.

Retain until updated, then destroy.

00000.

CDR APPELLATE INDEX CARD FILE

Index card file containing Appellate Court reversals and modifications. Index card contains: name of defendant, name of originating court, appellate division part, appellate action date, final disposition date (date UCS-540C was entered into C.R.I.M.S.), date information was obtained from Appellate Term/Division remittitur or New York Law Report - Advance Sheets, appellate case number, indictment number, appellate court disposition code and source of information (Appellate Term/Division remittitur or New York Law Report - Advance Sheets).

Retain until information can be verified and provided to Division of Criminal Justice Services, then destroy.

¹CDR - Criminal Disposition Reporting

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	CDR APPELLATE OPERATING GUIDELINES Guidelines for reporting Appellate Court reversals and modifications to the Department of Criminal Justice Services (D.C.J.S.).	Retain until updated, then destroy.
00000.	CDR APPELLATE PROCESSING FILE File containing information on Appellate Court reversals and modifications. Used as a tracking system for Appellate Term/Division cases. File contains information from APPELLATE TERM INDEX CARDS which are later updated by UCS-540C forms submitted by the courts with criminal jurisdiction.	Retain for three years after information has been provided to Division of Criminal Justice Services, then destroy.
00000.	CDR APPELLATE TERM/DIVISION REMITTITURS FILE File containing copies of decisions of the Appellate Divisions/Terms.	Retain for two years, then destroy.
00000.	CDR BATCH SLIP FILE File containing documents monitoring the UCS-540's entered by data entry staff. Document indicates the daily number of UCS-540's entered into C.R.I.M.S., the date and initials of data entry clerk.	Retain for three years, then destroy.
00000.	CDR ²C.R.I.M.S. DATA ENTRY QUICK REFERENCE LOG BOOK Book containing answers to the most commonly asked questions by data entry staff utilizing the C.R.I.M.S. application. Book also contains date of database changes, if any, and results of change.	Retain until updated, then destroy.

²C.R.I.M.S. - Criminal Records Information Management System

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	CDR C.R.I.M.S. USER LOG REPORT Daily report from C.R.I.M.S. indicating the daily number of: arraignments (dockets), cases dismissed prior to arraignment (UCS-343 CASE FORMS), interim case processing, finished cases, sealed cases and unsealed cases entered into the C.R.I.M.S. application by Criminal Disposition Reporting staff for lower criminal courts. Daily totals for all lower criminal court routines can also be obtained from this list.	Retain for one month, then destroy.
00000.	CDR CORRECTED QUALITY CONTROL (Q.C.) FILE File containing copies of data input sheets (UCS-540 forms) and printed screen from C.R.I.M.S. for corresponding data with data entry errors noted.	Retain for six months, then destroy.
00000.	CDR CORRECTED QUALITY CONTROL (Q.C.) LOG Log reflecting quality control of Criminal Disposition Reporting personnel activity. Information includes the analyst's name, data entry staff name, date of quality control, data entry date, number of forms sampled, and error factor.	Retain for one year, then destroy.
00000.	CDR CORRECTION FORM Form sent by Criminal Disposition Reporting Unit to courts with criminal jurisdiction requesting correction(s) to UCS-540 series forms.	Retain until resolved, then place in CRIMINAL DISPOSITION REPORTS - PROBLEM FILE - RESOLVED.
00000.	CDR COURT RECORD UPDATE FORM Form utilized by Criminal Disposition Reporting Unit to update court information. Document sent to Technology Services to process changes. Information includes: court code, title, court name, court address, names of court personnel and comments.	Retain for six months, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	CDR COURT RECORD UPDATE REPORT Report received from Education and Training sent to them by Information and Technology Services indicating names of new Town and Village Justices and current justice and court information.	Retain for six months, then destroy.
00000.	CDR CRIMINAL DISPOSITION REPORTS PROBLEM FILE (CDRPF) File containing documentation of problem dispositions.	Retain until problem is resolved, then place in CRIMINAL DISPOSITION REPORTS - PROBLEM FILE - RESOLVED.
00000.	CDR CRIMINAL DISPOSITION REPORTS PROBLEM FILE (CDRPF) OPERATING GUIDELINES Guidelines documenting the procedures for processing problem CRIMINAL DISPOSITION REPORTS.	Retain until updated, then destroy.
00000.	CDR CRIMINAL DISPOSITION REPORTS PROBLEM FILE - RESOLVED File containing copies of UCS-540C (Correction) forms resolved by the courts.	Retain for two years, then destroy.
00000.	CDR DAILY COUNT LOG Log used to record the daily count of UCS-540 forms entered by each data entry clerk. Log also provides weekly totals and averages for Criminal Disposition Reporting Unit.	Retain for six months, then destroy.
00000.	CDR DAILY STAFF PRODUCTION REPORT Report is used to monitor the production of Criminal Disposition Reporting staff. Report indicates the number of term, name of staff member, amount of arraigned cases entered, number of finished cases entered, number of sealed cases entered, daily totals of routines and input totals (number of UCS-540 forms). This report also provides weekly totals and averages for each staff member.	Retain for one year, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	CDR DATA ENTRY GUIDELINES MANUAL Instructional manual of data entry procedures for criminal disposition reporting. Manual also contains information on the criminal disposition reporting process.	Retain until updated, then destroy.
00000.	CDR DATA PROCESSING REQUEST FORM Document sent to Information and Technology Services by the courts requesting serial numbers for UCS-540 or UCS-540A CRIMINAL DISPOSITION REPORTS.	Retain for six months, then destroy.
00000.	CDR D.C.J.S.³ ERROR LIST FILE File containing weekly report sent from Division of Criminal Justice Services to Criminal Disposition Reporting Unit. List of all data entry "errors" that did not meet Division of Criminal Justice Services's error correction routine.	Retain until all errors on list are reconciled, then destroy.
00000.	CDR D.C.J.S. ERROR LIST CUMULATIVE STATISTICS FILE File containing cumulative statistics of error messages. Indicates total number of errors, total number of cases and provides cumulative resolution statistics.	Retain until updated, then destroy.
00000.	CDR D.C.J.S. ERROR LIST IN-HOUSE WORKSHEET FORM Worksheet summarizing total number of data entry errors listed on D.C.J.S. ERROR LIST. Indicates total number of errors by type of error and total number of cases. Worksheets are prepared for each D.C.J.S. ERROR LIST.	Retain for one month, then destroy.
00000.	CDR DOCUMENTS RECEIVED WEEKLY TOTALS FORM Document used to monitor the weekly estimated amounts of CRIMINAL DISPOSITION REPORTS received by Criminal Disposition Reporting Unit.	Retain for six months, then destroy.

³D.C.J.S. - Department of Criminal Justice Service

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	CDR FORMS SUPPLY RECEIVED LOG (FORM INVENTORY) Log of all stock forms received from vendor. Information includes current stock availability of UCS-540 Series Forms, form type, date received, and quantity.	Retain for one year, then destroy.
00000.	CDR FYI UCS-540A & UCS-540C INSTRUCTION SHEETS Information sent to the courts to facilitate the processing of Criminal Disposition Reports.	Retain until updated, then destroy.
00000.	CDR INVENTORY STATUS 540 FORMS FILE File containing computer generated reports from Information and Technology Services indicating the number of UCS-540 or UCS-540A forms requested by a Court. Document indicates Court Code, name of court, starting serial number and ending serial number for last group of UCS-540 or UCS-540A's printed.	Retain for one year, then destroy.
00000.	CDR INVENTORY STATUS SERIAL NUMBERS FILE File containing computer generated reports from Information and Technology Services indicating the number of serial numbers issued to a court. Document indicates starting serial number and ending serial number, name of Town\Village, City\District and Supreme\County courts.	Retain for one year, then destroy.
00000.	CDR MONTHLY STATISTICS FILE File containing documents used to record the number of UCS-540 forms entered by Criminal Disposition Reporting staff for each week within the term. Totals for the entire staff by week and month are also available.	Retain for two years, then destroy.
00000.	CDR NEW 540 FORM Listing of new Town and Village Justices created from CDR COURT RECORD UPDATE REPORT indicating the number of UCS-540 manual reports to be generated by Information and Technology Services.	Retain for six months, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

CDR N.Y.S.I.D.⁴ EXTRACTION LOG BOOK

Log book used to monitor the printing of Rap Sheets from Division of Criminal Justice Services terminal. Log indicates date, time, name of defendant, N.Y.S.I.D. number and reason for running rap sheet.

Retain for one year, then destroy.

00000.

CDR PRODUCTION REPORT (FORMS)

Document used to track the current backlog of Criminal Disposition Reporting forms awaiting data entry. Document indicates term number, number of forms received during term, number of forms entered during term and amount of current backlog.

Retain for two years, then destroy.

00000.

CDR RAP SHEETS

Document obtained from Division of Criminal Justice Services providing arrest information and defendant data. Document contains: defendants name, defendants date of birth, race, sex, height, social security number, F.B.I. number, aka's and criminal history (arrest information, arrest/arraignment charge, disposition and related data).

Retain for three months, then destroy.

00000.

CDR REQUEST FORM

Form sent by courts to Criminal Disposition Reporting Unit to request instructional and informational materials on the reporting of criminal dispositions. Form contains: name of person making request, date of request, court name, court code number, date request was processed by Criminal Disposition Reporting Unit, date requested material was sent and comments if any.

Retain for one year, then destroy.

⁴N.Y.S.I.D. - New York State Identification Number

R.S. #

RECORD SERIES

RETENTION

00000.

CDR REQUEST FORM FOR ADDITIONAL UCS-540, UCS-540B, UCS-540C CRIMINAL DISPOSITION REPORTS

Form sent by courts of criminal jurisdiction to the Criminal Disposition Reporting Unit requesting additional UCS-540 forms, UCS-540B forms, UCS-540C forms and serial numbers (for Courts with microcomputers). Form indicates: document requested, amount requested, judges name, court name, Office of Court Administration court code number, date of request, date request was received by Office of Court Administration and date requested material was sent to the court.

Retain for six months, or until no longer needed, whichever is shorter, then destroy.

00000.

CDR SERIAL NUMBER LISTING

Listing of serial numbers distributed by Technology Services to Criminal Disposition Reporting and courts utilizing microcomputers to generate CRIMINAL DISPOSITION REPORTS.

Retain until all serial numbers on list are utilized, then destroy.

00000.

CDR UCS-540 (LOCAL COURT CRIMINAL DISPOSITION REPORT)

- a) **UCS-540 FORMS CONTAINING ARRAIGNMENT INFORMATION ONLY**
- b) **UCS-540 FORMS CONTAINING INTERIM DISPOSITION AND FINAL DISPOSITION DATA**

- a) Destroy immediately.
- b) Retain for three years from date of disposition, then destroy.

Document submitted by Local Courts to Data Services. Document contains: case data, interim disposition data, charges and disposition.

00000.

CDR UCS-540 INSTRUCTION MANUAL FOR LOCAL COURTS

Manual containing instructions and codes for the Town and Village Courts and City Courts not utilizing microcomputers for the production of criminal case disposition reports.

Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	<p>CDR UCS-540 INSTRUCTION MANUAL FOR LOCAL COURTS WITH MICROCOMPUTERS</p> <p>Manual containing instructions and codes for Town and Village Courts and City Courts utilizing microcomputers for the production of criminal case disposition reports.</p>	Retain until updated, then destroy.
00000.	<p>CDR UCS-540A (SUPERIOR AND COUNTY COURT CRIMINAL DISPOSITION REPORT)</p> <p>a) UCS-540A FORMS CONTAINING ARRAIGNMENT INFORMATION ONLY</p> <p>b) UCS-540A FORMS CONTAINING INTERIM DISPOSITION AND FINAL DISPOSITION DATA</p> <p>Document submitted by Superior Courts to Data Services. Document contains: case data, interim disposition data, charges and disposition.</p>	<p>a) Destroy immediately.</p> <p>b) Retain for three years, then destroy.</p>
00000.	<p>CDR UCS-540A INSTRUCTION MANUAL FOR SUPERIOR AND COUNTY COURTS WITH MICROCOMPUTERS</p> <p>Manual containing instructions and codes for the Superior and County Courts utilizing microcomputers for the production of criminal case disposition reports.</p>	Retain until updated, then destroy.
00000.	<p>CDR UCS-540A INSTRUCTION MANUAL FOR SUPERIOR AND COUNTY COURTS</p> <p>Manual containing instructions and codes for the Superior and County Courts not utilizing microcomputers for the production of criminal case disposition reports.</p>	Retain until updated, then destroy.
00000.	<p>CDR UCS-540B (CDR CHARGE SUPPLEMENT SHEET)</p> <p>Document attached to UCS-540 or UCS-540A. This is a supplemental form and is utilized to list additional charges that did not fit on the UCS-540 or UCS-540A form.</p>	Retain for three years, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

CDR UCS-540C (CORRECTIONS, GRAND JURY RETURNS, RESENTENCING AND APPELLATE ACTIONS FOR CASES ORIGINALLY REPORTED ON CRIMINAL DISPOSITION REPORT)

Document submitted by the Local and Superior Courts to the Criminal Disposition Reporting Unit to report corrections, resentences, appellate actions, and cases returned from the grand jury or the County Court. This form is for cases previously reported on a CDR LOCAL COURT CRIMINAL DISPOSITION REPORT (UCS-540) or a CDR SUPERIOR AND COUNTY COURT CRIMINAL DISPOSITION REPORT (UCS-540A).

Retain for three years, then destroy.

00000.

CDR UCS-540C INSTRUCTION MANUAL FOR COMPLETION OF THE FORM FOR CORRECTIONS, GRAND JURY RETURNS, RESENTENCING AND APPELLATE ACTIONS

Manual containing instructions and codes for the completion of the UCS-540C form.

Retain until updated, then destroy.

00000.

CITY AND DISTRICT CASELOAD ACTIVITY REPORTING STATISTICAL FILE (FROM DATA COLLECTION FORM UCS-175)

File containing statistical information detailing city and district caseload activity. The information may include the Summary of Caseload Activity Report and a Court Compare Report. The Summary of Caseload Activity details the total number of criminal and civil cases calendared, filed, tried by jury, and disposed of by case type. The Court Compare Report details the total number of filings and dispositions and the percentage change from the previous year.

Retain permanently for research purposes.

R.S. #

RECORD SERIES

RETENTION

00000.

**CIVIL CASE INFORMATION SYSTEM
DISPOSITION MEAN AND MEDIAN TIMES
LAPSE REPORT (also known as ELAPSED
TIME REPORT)**

File containing statistical reports detailing the total number of cases and the mean and median days for each type of civil case from initiation to disposition.

Retain annual statistics permanently for research purposes. Retain interim reports until no longer needed, then destroy.

00000.

**COMPUTER APPLICATION PROGRAM
FILES**

Electronic records management tool used to convert information into useable means. Files may contain: specifications, file structures, program documentation, deleted modules, programmers notes, control numbers, dictionaries, screen, report layouts, utilities, transaction files, and program listings.

Retain current computer application program files and immediate predecessor computer application program files.

00000.

**COURT OF APPEALS CASELOAD ACTIVITY
DATA COLLECTION FORM (UCS-172CA)**

File containing statistical forms collecting information on the activities of the Court of Appeals. The information may include the total number of civil and criminal notices of appeal or orders granting leave received; the number of records on appeals filed; the number of appeals disposed, affirmed, reversed, modified, or dismissed; the number of writings (full opinions, per curiam, memorandum, concurring opinion/memorandum, dissenting opinion/memorandum); the number of motions decided, judicial conduct determinations reviewed, applications decided, oral arguments, and submissions; and the number of appeals pending, appeals pending argument or submission and appeals pending decision.

Retain permanently for research purposes.

R.S. #

RECORD SERIES

RETENTION

00000.

**COURT OF CLAIMS CASELOAD ACTIVITY
DATA COLLECTION FORM**

File containing statistical forms collecting information on the activities of the Court of Claims. The information may include the number of claims pending, the number of claims filed during the reporting period, the total claims in court, the number of claims disposed of during period, claims dismissed, claims in which awards were made, amount awarded, and amendments.

Retain permanently for research purposes.

00000.

**DAILY JURY POOL STATUS AND
TRANSACTIONS FORM - FULL SYSTEM**

Document submitted by County Courts with full systems to Data Services. Document indicates jury duty activity on a daily basis and is submitted weekly to Data Services. Form indicates: county, date, assembly room number, name of forms preparer, time of jury duty activity, type of case (civil or criminal), judge or part, type of transaction, number of jurors in pool, number of jurors in voir dices and trials and total number of jurors on jury duty.

Retain for two years, then destroy.

00000.

**DAILY JURY POOL STATUS AND
TRANSACTIONS FORM - LIMITED SYSTEM**

Document used to monitor the receipt of JURY UTILIZATION SUMMARY SHEETS for each term. Document indicates the name of the county and the term that JURY UTILIZATION SUMMARY SHEET.

Retain for two years, then destroy.

00000.

DATA PROCESSING REQUESTS FILE

File containing requests to the Information Technology Services Department asking for special programming to retrieve and manipulate Caseload Activity Files data.

Retain for one year after request is completed, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

**DATA PROCESSING TRANSMITTAL SLIP
FILE**

File containing DATA PROCESSING TRANSMITTAL SLIPS that accompany data entry worksheets. Document indicates: type of court, county of court, batch number, type of document, month and year of documents and physical count of documents attached.

Retain for one year, then destroy.

00000.

**EQUAL EMPLOYMENT OPPORTUNITY
(E.E.O.) LIST**

Listing used to identify all employees on the Central Payroll File that are missing race and gender data.

Retain until all missing data is collected and transferred to computer database, then destroy.

00000.

FAMILY COURT BATCH NUMBER LOG

Log used to track the batch numbers of UCS FAMILY COURT CASELOAD ACTIVITY REPORT FORMS sent to Technology Services - Data Entry.

Retain for one year, then destroy.

00000.

**FAMILY COURT CASELOAD ACTIVITY
REPORT FORMS (UCS-102, UCS-103, UCS-
104, UCS-106, UCS-109, UCS-110, UCS-111
AND UCS-112)**

Documents reporting Family Court case activity for Child Protective, Juvenile Delinquency, Designated Felony, Child Support Orders and Family Offense Petitions.

Retain until information in entered into computer database, then destroy.

R.S. #**RECORD SERIES****RETENTION**

00000.

**FAMILY COURT CASELOAD ACTIVITY
REPORTING STATISTICAL FILE (FROM
DATA COLLECTION FORM
UCS-108)**

File containing statistical information detailing family court caseload activity. The information may include a Year-to-Date Executive Summary Report, Caseload Activity by Type of Processing Report and UCS-108 Dump Report. The Executive Summary Report details the total case activities by county and district of the activity of judges, hearing examiners and the clerk's office. The case activities may include filings, dispositions, dispositions-non compliance, judges days sat, pending dispositions, pending dispositions non-compliance. The Caseload Activity Report gives totals by each type of proceeding. The UCS-108 Dump Report details by type of proceeding the total number of additions to the calendar of original filings and violations/modifications filings, the total number of deductions from the calendar of original filings and violations and modifications, and total pending dispositions.

Retain permanently for research purposes.

00000.

**FAMILY COURT DISPOSITION
REPORTING INSTRUCTION MANUAL FOR
JUVENILE DELINQUENCY, DESIGNATED
FELONY, PERSON IN NEED OF
SUPERVISION, CHILD PROTECTIVE, AND
FAMILY OFFENSE PETITIONS**

Manual containing instructions for completion of FAMILY COURT CASELOAD ACTIVITY REPORTING FORMS.

Retain until updated, then destroy.

00000.

INDIGENT REPORTS (UCS-195)

File containing statistical forms collecting information on the activities of the number of cases on indigents who use Public Defenders or other types of legal service.

Retain for twenty-five years, then destroy.

00000.

**INSTRUCTIONS FOR DOWNLOADING
DATA FROM MAINFRAME**

Written instructions for Supreme and County Courts on how to download data from the mainframe computer system.

Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	JUROR UTILIZATION LOG SHEET Log recording receipt of DAILY JURY POOL STATUS AND TRANSACTION FORMS from Full System Courts. Document indicates: court term, county and week of term.	Retain for one year or until all terms for all counties have been received for the year, then destroy.
00000.	JUROR UTILIZATION SUMMARY SHEET - FULL SYSTEM Document summarizing juror transaction data captured from DAILY JURY POOL STATUS AND TRANSACTION FORM. Document indicates: county, year, assembly room number, court term, date of jury, total number of jurors in service, total number of jurors in voir dires and trials, total number of jurors reporting to pool, total number of jurors sent to voir dires, total number of new voir dires and peak (number of carryover jurors and number of jurors sent to voir dire) totals.	Retain for two years, then destroy.
00000.	JUROR UTILIZATION SUMMARY SHEET - LIMITED SYSTEM Document submitted by the courts with limited systems to Data Services. Document indicates jury duty activity on a daily basis. Document indicates: county, year, assembly room number, court term, date of jury duty, total number of jurors in jury pool, number of jurors in voir dires and trials, number of jurors reporting for service and number of new voir dires.	Retain for two years, then destroy.
00000.	JURY PROGRAM REPORTS FILE File containing memorandum and JURY PROGRAM REPORTS. JURY PROGRAM REPORTS are utilized to analyze procedures in both court and jury operations.	Retain until updated, then destroy.
00000.	JURY REPORT Report sent to Commissioners' of Jurors showing jury utilization data for the previous term(s). Report contains: summary sheet, weekly totals, term report and number of voir dires by day of week.	Retain for five years, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	JURY SYSTEM FILE File containing all data transcribed from JUROR UTILIZATION SUMMARY SHEETS submitted by the Commissioner's of Jurors.	Retain for ten years, then destroy.
00000.	JURY SYSTEM BID SPECIFICATIONS FOR SUMMONSES File containing copies of bid specifications for New York State Jury Summonses.	Retain for five years, then destroy.
00000.	JURY SYSTEM SUMMONS CONTRACT AND AWARD FILE File containing duplicate copies of contracts and award letters from the State Comptroller's Audit and Control Department and Office of Court Administration's Central Purchasing Department regarding bid results for New York State Jury Summonses.	Retain for five years, then destroy,
00000.	JURY UTILIZATION CONTACT LOG SHEET Document used to monitor the data entry status of DAILY JURY POOL STATUS AND TRANSACTION FORMS submitted by Full System Courts. Document also provides term number, name of contact person and telephone number.	Retain until all DAILY JURY POOL STATUS AND TRANSACTION FORMS - FULL SYSTEM COURTS have been data entered for the term, then destroy.
00000.	JURY UTILIZATION PROGRAM INSTRUCTION MANUAL FOR DATA COLLECTION AND REPORTING Manual containing instructions for the completion of the DAILY POOL STATUS AND TRANSACTION FORM.	Retain until updated, then destroy.

R.S. #**RECORD SERIES****RETENTION**

00000.

**MENTAL HYGIENE LEGAL SERVICES
STATISTICAL REPORT (UCS-140)**

File containing statistical forms collecting information on the activities of Mental Hygiene Legal Services. The information may include the following details for each type of judicial proceeding (initial admissions, civil retention, habeas corpus, C.P.L., Property, Miscellaneous): cases calendared, charts reviewed, memo/reports, court appearances, contacts/clients, contacts/others, research/pleadings, dispositions, pending cases, new applications filed, applications withdrawn, new hearing demands, hearing demands withdrawn, retained and released after hearing, retained and released without hearing, returned to trial after hearing, returned to trial without hearing, criminal to civil changes granted and denied, and non return applications denied or granted. Also included may be the number of applications received for voluntary/informal patients, involuntary patients, voluntary residents, non-objecting residents, alcoholism patients. Work not related to judicial proceedings may include the number of client contacts (mental patients, residents, alcoholism patients) and activity (initial interview, advocacy, incident reports, info/correspondence, disciplinary procedures).

Retain annual statistics permanently for research purposes. Retain interim reports until no longer needed, then destroy.

00000.

**NEW YORK STATE COMMISSIONERS OF
JURORS LIST**

Listing of New York State Commissioners of Jurors. Listing indicates: district number, name of county, name of commissioner, mailing address and telephone number.

Retain until updated, then destroy.

00000.

**OUTSIDE AGENCY REQUESTS FOR
PUBLISHING DATA FILE**

File containing formal requests to publish statistical data about the New York State Unified Court System.

Retain for five years, then destroy.

00000.

PAY PARITY CASE FILES

File containing statistical information for litigation cases dealing with judges suing for pay discrepancies. Information may contain backup statistics, letters, memos and other related information.

Retain for ten years, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

**QUALITY CONTROL WEEKLY A-A
PRODUCTION REPORT**

Report summarizing the production activity of data entry staff for each week of the court term. Information includes staff name, number of records entered, days of production work per week and kind of data being entered.

Retain for two years, then destroy.

00000.

**SMALL CLAIMS ASSESSMENT REVIEW
PROGRAM CASELOAD ACTIVITY
STATISTICAL FILE (FROM DATA
COLLECTION FORM UCS-904)**

File containing statistical information detailing Small Claims Assessment Review activity. The information may include the total number of judicial hearing officer days, the petitions pending at the beginning of the term, the petitions filed during the term, the petitions disposed during the term.

Retain permanently for research purposes.

00000.

**SMALL CLAIMS ASSESSMENT REVIEW
PROGRAM DATA COLLECTION FORM
(UCS-904)**

File containing statistical forms collecting information on the activities of the Small Claims Assessment Review Program. The information on the forms may contain the total number of judicial hearing officer days, the petitions pending at the beginning of the term, the petitions filed during the term, the petitions disposed during the term.

Retain for one year after information is entered into data file and quality control has been conducted, then destroy.

00000.

**STATEMENT OF CIVIL FEES EARNED AND
CRIMINAL CASES COMPLETED FILE**

File containing copies of STATEMENTS OF CIVIL FEES EARNED AND CRIMINAL CASES COMPLETED sent to the New York State Comptroller - Bureau of Justice Court Fund by Town and Village Justices. Document indicates: name of defendant or title of action, statute and section, brief description of offense, arrest date, disposition date, sentence or other disposition date, amount of fines forfeited, amount of bail and civil penalties, amount of civil fees, amount of mandatory surcharge, justice identification number, name of Town or Village Justice, name of town or village, name of county, mailing address, phone number and zip code.

Destroy immediately.

R.S. #

RECORD SERIES

RETENTION

00000.

STATISTICAL CREATION BACKGROUND FILES

File of why, when and how statistical files were created. Information may include background statistical and historical information on the courts, changes and definitions of statistical data, information about the computer programs that compile the statistical data, notes, memos, special projects, lockout memos and other procedures, and all other statistical supporting data.

Retain permanently for research purposes.

00000.

STATISTICAL REQUESTS LOG

Log used to record all requests for statistical information about the courts. Information may include date of request, caller, agency of caller, telephone number, data requested, if data was furnished, date furnished and who answered the request.

Retain for five years then destroy.

00000.

SUPREME AND COUNTY CIVIL COURTS CASELOAD ACTIVITY REPORTING INSTRUCTIONAL MANUAL FOR REPORTING CIVIL CASE ACTIVITY

Instructional manual on how to complete the CIVIL CASELOAD ACTIVITY REPORT (UCS-101).

Retain until updated, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

**SUPREME AND COUNTY CIVIL COURTS
CASELOAD ACTIVITY REPORTING
STATISTICAL FILE (FROM DATA
COLLECTION FORM UCS-101)**

File containing statistical information detailing the civil case activities of the courts. The activities reported may include: new filings; dispositions; new cases; new ex-parte applications; new uncontested matrimonial cases; case disposed; ex-parte applications disposed; uncontested matrimonial cases disposed; notes of issue filed; notes of issue disposed; percentage of settlements, verdicts/decisions, transfers 325(d), marked off/stricken, and other of notes of issues disposed; case disposed pre-note of issue; notes of issue by settlements; notes of issue by verdict; notes of issue pending; pending actions; notes of issue pending over Standards and Goals and percentage of notes of issue pending over Standards and Goals of totals; motions filed; motions decided; appearances; appearances for disposition; appearance pre-note of issue; appearances for judge day; appearance post-note of issue; trials commenced; jury trials commenced; non-jury trials commenced; judge days; days on trial; days on hearing; hearings commenced.

Retain permanently for research purposes.

00000.

**SUPREME AND COUNTY CRIMINAL
COURTS CASELOAD ACTIVITY
REPORTING INSTRUCTIONAL MANUAL
FOR REPORTING CRIMINAL CASE
ACTIVITY**

Instructional manual on how to complete the CRIMINAL CASELOAD ACTIVITY REPORT (UCS-153).

Retain until updated, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

**SUPREME AND COUNTY CRIMINAL
COURTS CASELOAD ACTIVITY
REPORTING STATISTICAL FILE (FROM
DATA COLLECTION FORM UCS-153)**

File containing statistical information detailing the criminal case activities of the courts. The activities reported may include: new filings; total dispositions; dispositions broken down by plea, jury verdict, non-jury verdict, dismissal and other; trials commenced; jury trials commenced; total non-jury trials commenced; days judge sat; days on trial; days on hearing; cases pending disposition; cases pending disposition and percentage of total; sentences; arraignments; percentage of total cases pending sentencing; appearances through disposition; appearances through post-disposition; dispositions by judge day; appearances per dispositions.

Retain permanently for research purposes.

00000.

**SURROGATE'S COURT CASELOAD
ACTIVITY DATA COLLECTION FORM (UCS-
150)**

File containing statistical forms collecting information on the activities of the Surrogate's Court. The information may include, by case type, the total number of proceedings filed, citations/notices returned, motions, orders and causes, guardians ad-litem appointed, answers and objections filed, bonds filed, bonds dispensed, trial notes filed, orders signed, decrees signed, decrees signed, letters issued, and miscellaneous. Other information includes the total number of trials commenced by a Surrogate, referee hearings commenced, conferences commenced by law department or law clerk, examinations held, written decisions and opinions and memoranda issued, certificates issued, annual accountings, wills filed for safekeeping, files requisitioned, pages certified, exemplifications, searches completed, witnesses examined by clerk, inventories filed pursuant to UCR 207.20 and 207.59, persons adopted, estate tax returns filed, uncertified pages, file numbers issued.

Retain for one year after information is entered into data file and quality control has been conducted, then destroy.

R.S. #

RECORD SERIES

RETENTION

00000.

**SURROGATE'S COURT CASELOAD
ACTIVITY REPORTING STATISTICAL FILE
(FROM DATA COLLECTION FORM
UCS-150)**

File containing statistical information detailing Surrogate's Court caseload activity. The information may include, by case type, the total number of proceedings filed, citations/notices returned, motions, orders and causes, guardian ad-litem appointed, answers and objections filed, bonds filed, bonds dispensed, trial notes filed, orders signed, decrees signed, decrees signed, letters issued, and miscellaneous. Other information includes the total number of trials commenced by a surrogate, referee hearings commenced, conferences commenced by law department or law clerk, examinations held, written decisions and opinions and memoranda issued, certificates issued, annual accountings, wills filed for safekeeping, files requisitioned, pages certified, exemplifications, searches completed, witnesses examined by clerk, inventories filed pursuant to UCR 207.20 and 207.59, persons adopted, estate tax returns filed, uncertified pages, file numbers issued.

Retain permanently for research purposes.

00000.

**TRIAL PART CASE ACTIVITY REPORT -
JURY PART ADJOURNMENTS STUDY
DATA COLLECTION FORMS**

Form collecting information on the reason for jury adjournments. Information collected is defense attorney type (18-B, private, legal aid), reason for scheduled appearance, type of trial activity, adjournment date and reason for adjournment.

Destroy immediately.

00000.

**TRIAL PART CASE ACTIVITY REPORT -
JURY PART ADJOURNMENTS STUDY
DATA ENTRY LOG**

Log monitoring the data entry of the jury part adjournment study data collection forms. Information includes date and number of forms entered.

Destroy immediately.

R.S. #

RECORD SERIES

RETENTION

00000.

**TRIAL PART CASE ACTIVITY REPORT -
JURY PART ADJOURNMENTS STUDY
DATA FILE**

File containing information on the reason for jury adjournments. Information collected is defense attorney type (18-B, private, legal aid), reason for schedule appearance, type of trial activity, adjournment date and reason for adjournment.

Destroy immediately.

00000.

WEEKEND JOB REPORT SCHEDULE

Schedule of all computer programs to be run at Rensselaer Technology Park over the weekend.

Retain until updated, then destroy.

INDEX

Appellate Departments Caseload Activity Data Collection Form (UCS-172AD)	1
Appellate Departments Caseload Activity Reporting Statistical File (From Data Collection Form UCS-172AD)	1
Appellate Terms Caseload Activity Reporting Data Collection Form (UCS-170AT)	2
Arbitration Data Collection Forms (Consent And Oath Or Affirmation - UCS-360.1)	2
Arbitration Data Processing Transmittal Slip File	2
Arbitration Data Transmittal Batch Number Log	3
Arbitration Program Recapitulation Caseload Activity Statistical File (From Data Collection Form UCS-351)	3
Arbitration Program Weekly Report Of Proceedings Data Collection Form (UCS-351)	3
Arrest To Arraignment Study Data Collection Forms (CRC 3002, 3003, 3004)	3
Arrest To Arraignment Study Data Entry Log	3
Arrest To Arraignment Study Data File	4
Arrest To Arraignment Study File Backup Log	4
Arrest To Arraignment Study Reports	4
Arrest To Arraignment Study Returned Data Collection Forms Log	4
Attorney Disciplinary Activities Statistical Reporting Form	5
CDR 343 Case Forms	5
CDR Analyst Assignment Chart File	5
CDR Analyst Rotation Schedule File	5
CDR Appellate Index Card File	5
CDR Appellate Operating Guidelines	6
CDR Appellate Processing File	6
CDR Appellate Term/Division Remittiturs File	6
CDR Batch Slip File	6
CDR Charge Supplement Sheet: see CDR UCS-540B	13
CDR C.R.I.M.S. Data Entry Quick Reference Log Book	6
CDR C.R.I.M.S. User Log Report	7
CDR Corrected Quality Control (Q.C.) File	7
CDR Corrected Quality Control (Q.C.) Log	7
CDR Correction Form	7
CDR Court Record Update Form	7
CDR Court Record Update Report	8
CDR Criminal Disposition Reports Problem File (CDRPF)	8
CDR Criminal Disposition Reports Problem File (CDRPF) Operating Guidelines	8
CDR Criminal Disposition Reports Problem File - Resolved	8
CDR Daily Count Log	8
CDR Daily Staff Production Report	8
CDR Data Entry Guidelines Manual	9
CDR Data Processing Request Form	9
CDR D.C.J.S. Error List File	9
CDR D.C.J.S. Error List Cumulative Statistics File	9
CDR D.C.J.S. Error List In-House Worksheet Form	9
CDR Documents Received Weekly Totals Form	9
CDR Forms Supply Received Log (Form Inventory)	10
CDR FYI UCS-540A & UCS-540C Instruction Sheets	10
CDR Inventory Status 540 Forms File	10
CDR Inventory Status Serial Numbers File	10
CDR Monthly Statistics File	10
CDR New 540 Form	10

CDR N.Y.S.I.D. Extraction Log Book	11
CDR Production Report (Forms)	11
CDR Rap Sheets	11
CDR Request Form	11
CDR Request Form For Additional UCS-540, UCS-540B, UCS-540C Criminal Disposition Reports	12
CDR Serial Number Listing	12
CDR UCS-540 (Local Court Criminal Disposition Report)	12
CDR UCS-540 Instruction Manual For Local Courts	12
CDR UCS-540 Instruction Manual For Local Courts With Microcomputers	13
CDR UCS-540A (Superior And County Court Criminal Disposition Report)	13
CDR UCS-540A Instruction Manual For Superior And County Courts With Microcomputers	13
CDR UCS-540A Instruction Manual For Superior And County Courts	13
CDR UCS-540B (CDR Charge Supplement Sheet)	13
CDR UCS-540C (Corrections, Grand Jury Returns, Resentencing And Appellate Actions For Cases Originally Reported On Criminal Disposition Report)	14
CDR UCS-540C Instruction Manual For Completion Of The Form For Corrections, Grand Jury Returns, Resentencing And Appellate Actions	14
City And District Caseload Activity Reporting Statistical File (From Data Collection Form UCS-175)	14
Civil Case Information System Disposition Mean And Median Times Lapse Report	15
Computer Application Program Files	15
Corrections, Grand Jury Returns, Resentencing And Appellate Actions For Cases Originally Reported On Criminal Disposition Report: see CDR-540C	14
Court Of Appeals Caseload Activity Data Collection Form (UCS-172CA)	15
Court Of Claims Caseload Activity Data Collection Form	16
CRC 3002: see Arrest To Arraignment Study Data Collection Forms	3
CRC 3003: see Arrest To Arraignment Study Data Collection Forms	3
CRC 3004: see Arrest To Arraignment Study Data Collection Forms	3
Daily Jury Pool Status And Transactions Form - Full System	16
Daily Jury Pool Status And Transactions Form - Limited System	16
Data Processing Requests File	16
Data Processing Transmittal Slip File	17
Elapsed Time Report: see Civil Case Information System Disposition Mean And Median Times Lapse Report	15
Equal Employment Opportunity (E.E.O.) List	17
Family Court Batch Number Log	17
Family Court Caseload Activity Report Forms (UCS-102, UCS-103, UCS-104, UCS-106, UCS-109, UCS-110, UCS-111 And UCS-112)	17
Family Court Caseload Activity Reporting Statistical File (From Data Collection Form UCS-108)	18
Family Court Disposition Reporting Instruction Manual For Juvenile Delinquency, Designated Felony, Person In Need Of Supervision, Child Protective And Family Offense Petitions	18
Indigent Reports (UCS-195)	18
Instructions For Downloading Data From Mainframe	18
Juror Utilization Log Sheet	19
Juror Utilization Summary Sheet - Full System	19
Juror Utilization Summary Sheet - Limited System	19
Jury Program Reports File	19
Jury Report	19
Jury System File	20
Jury System Bid Specifications For Summonses	20
Jury System Summons Contract And Award File	20

Jury Utilization Contact Log Sheet	20
Jury Utilization Program Instruction Manual For Data Collection And Reporting	20
Local Court Criminal Disposition Report: see CDR UCS-540	12
Mental Hygiene Legal Services Statistical Report (UCS-140)	21
New York State Commissioners Of Jurors List	21
Outside Agency Requests For Publishing Data File	21
Pay Parity Case Files	21
Quality Control Weekly A-A Production Report	22
Small Claims Assessment Review Program Caseload Activity Statistical File (From Data Collection Form UCS-904)	22
Small Claims Assessment Review Program Data Collection Form (UCS-904)	22
Statement Of Civil Fees Earned And Criminal Cases Completed File	22
Statistical Creation Background Files	23
Statistical Requests Log	23
Superior And County Court Criminal Disposition Report: see CDR UCS-540A	13
Supreme And County Civil Courts Caseload Activity Reporting Instructional Manual For Reporting Civil Case Activity	23
Supreme And County Civil Courts Caseload Activity Reporting Statistical File (From Data Collection Form UCS-101)	24
Supreme And County Criminal Courts Caseload Activity Reporting Instructional Manual For Reporting Criminal Case Activity	24
Supreme And County Criminal Courts Caseload Activity Reporting Statistical File (From Data Collection Form UCS-153)	25
Surrogate's Court Caseload Activity Data Collection Form (UCS-150)	25
Surrogate's Court Caseload Activity Reporting Statistical File (From Data Collection Form UCS-150)	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data Collection Forms	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data Entry Log	26
Trial Part Case Activity Report - Jury Part Adjournments Study Data File	27
UCS-101: see Supreme And County Civil Courts Caseload Activity Reporting Statistical File	24
UCS-102: see Family Court Caseload Activity Report Forms	17
UCS-103: see Family Court Caseload Activity Report Forms	17
UCS-104: see Family Court Caseload Activity Report Forms	17
UCS-106: see Family Court Caseload Activity Report Forms	17
UCS-108: see Family Court Caseload Activity Reporting Statistical File	18
UCS-109: see Family Court Caseload Activity Report Forms	17
UCS-110: see Family Court Caseload Activity Report Forms	17
UCS-111: see Family Court Caseload Activity Report Forms	17
UCS-112: see Family Court Caseload Activity Report Forms	17
UCS-140: see Mental Hygiene Legal Services Statistical Form	21
UCS-150: see Surrogate's Court Caseload Activity Data Collection Form	25
UCS-153: see Supreme And County Criminal Courts Caseload Activity Reporting	25
UCS-170AT: see Appellate Terms Caseload Activity Reporting Data Collection Form	2
UCS-172AD: see Appellate Departments Caseload Activity Data Collection Form	1
UCS-172CA: see Court Of Appeals Caseload Activity Data Collection Form	15
UCS-175: see City And District Caseload Activity Reporting Statistical File	14
UCS-195: see Indigent Reports	18
UCS-351: see Arbitration Program Weekly Report Of Proceedings Data Collection Form	3
UCS-360.1: see Arbitration Data Collection Forms	2
UCS-904: see Small Claims Assessment Review Program Data Collection Form	22
Weekend Job Report Schedule	27